UNIX-Based Systems and Software Manufacturing (USSM) Ship Hold Procedure

DOCUMENT IDENTIFIER: A-SP-ELSSM01-00-0000 Rev B, 02-Aug-1991

ABSTRACT: This document identifies the conditions, communication linkages, and decision point necessary to place a USSM product on hold.

APPLICABILITY: This document applies to all USSM products, both hardware and software, shipped from Manufacturing, Distribution, and Consolidation Centers and all other holders of USSM inventory in the U.S. and all worldwide locations, except for European-manufactured and shipped products; for those, document GENMFG-0-EU-REV should be referenced.

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1 PURPOSE

This document identifies the conditions, communication linkages, and decision points necessary to place a USSM product on ship hold.

2 SCOPE

This document applies to all USSM products, both hardware and software, shipped from Manufacturing, Distribution and Consolidation Centers, and all other holders of USSM inventory in the U.S. and all worldwide locations, except for European manufactured and shipped products. For those products, refer to document GENMFG-0-EU-REV.

3 DEFINITIONS

OPERATIONAL ALERT/CORPORATE PRODUCT HOLD

The notification of a defect condition on a product, placing the product on immediate hold throughout the Corporation. This condition normally arises as a result of the following two categories of defects and has an impact throughout the Corporation.

- **Product Safety**—A defect which has the potential to cause injury or damage to persons or property. Work on any product so designated must cease immediately.
- **Serious Functional Defect**—A defect condition or non-compliance liable to cause severe degradation of product performance and/or serious customer impact.

USSM HOLD

A stop shipment order generated to corporate product inventory owners by USSM personnel. This results from a discovery and investigation that concludes that a serious defect exists in a product or system manufactured and shipped by the USSM manufacturing organization.

NOTIFICATION OF PENDING ACTION

A statement of pending action, that may result in a product hold, sent to appropriate product management.

HOLD ACTION NOTIFICATION

A Notification to product inventory owners describing the problem and the necessary corrective action.

HOLD MANAGER

A person assigned responsibility to manage the hold process. This person is normally assigned from within the source plant.

4 PROBLEM IDENTIFICATION AND INVESTIGATION

Sources of problem feedback

- Customer
- Manufacturing Plants
- Digital Services

- Product Safety
- Quality Audits
- Product Distribution Centers
- PCU (Product Creation Unit)
- POM (Point of Manufacturing) partners
- CSSE (Customer Services Systems Engineering)
- Sales
- Other sources

Identification or disclosure of a problem with a Digital USSM product triggers inputs to the manufacturing source plant.

4.1 PROBLEM OWNERSHIP

If the problem is safety related, the ownership always goes to the manufacturing source plant.

If the problem is related to a product in a pre-FCS (First Customer Ship) situation, the ownership lies with New Products Quality management .

If the problem is in a post-FCS situation with more than 6 months of customer shipment, the responsibility rests with the product manager. If the problem is with a new product that has shipped to customers for less than 6 months, the problem ownership may revert to New Products Quality management depending on the nature of the problem.

The organization that is identified as having ownership of the product is responsible for initiating an investigation of the problem to determine what action should be taken. One person must be designated as the Hold Manager to act as a focus and coordinate activities during the hold period.

If, at the close of the investigation no action is planned, a Product/Hold Investigation Analysis form is completed and the activity ended. If the problem is considered serious enough to place a product on ship hold, a Product Hold/Investigation Analysis form will be completed, and a hold action is initiated. See form shown in Figure 2.

5 HOLD ACTION SEQUENCE

1. **NOTIFICATION OF PENDING ACTION**—This is the first step following the investigation and is the responsibility of the problem owner and must precede an official hold. Notification must be sent by ENET to the appropriate product 5 x 5, in a pre-FCS situation. In a post-FCS situation notification must be sent to the product 5 x 5, as well as the Product Manager, Plant Engineering Manager, Plant Manufacturing Manager, Group Quality/Customer Satisfaction Manager, and CSSE Manager with a description of the problem and a statement describing the planned action.
2. **ACKNOWLEDGMENT OF NOTIFICATION OF PENDING ACTION** – Responses must be received within 1 working day. No response is an indication of approval of the contemplated action. All individuals on distribution for the notification should respond.

3. **ISSUING HOLD STATEMENTS**—After the notification of pending action has been distributed and acknowledged, the hold statement is drafted and sent to the Group Quality/Customer Satisfaction Manager for general distribution. See text under Hold Statement and Distribution List, heading 7 and Table 1.
4. **ACKNOWLEDGING THE HOLD**—Key individuals on the USSM hold distribution list must respond to the hold message with specific information. (See Acknowledgment Responsibilities, heading 8.)
5. **EXECUTING THE HOLD**—Once the hold is announced and acknowledged, all affected Product Inventory Holders, Distribution Centers, and Consolidation Centers must carry out the hold by locking the product and preventing it from shipping until the problem is resolved. Refer to the *Corporate Distribution Hold/Purge Procedure*, document number A-QU-CD00003-CD03-1.
6. **RELEASE FROM HOLD**—After all necessary corrective action has taken place, the product will be released by notification to the same distribution list that placed it on hold. See Release From Hold Requirements, heading 12.
7. **FOLLOW-UP AND CLOSE-OUT**—At the conclusion of the hold, the Hold Manager will follow up all activity that transpired to ensure all details have been closed out. See Follow-up and Close-out Responsibilities, heading 13.

6 NOTIFICATION OF PENDING ACTION

6.1 NOTIFICATION STATEMENTS

Generally, the New Products Quality Management, the Plant Quality manager, or the Product Manager will send the pending action statement to the individual identified in text under subhead 4.1.

6.2 STATEMENT CONTENT

When a notification of pending action is to be sent the statement must include a description of the problem, what investigation/analysis took place, and who participated in the investigation. The notification shall include a recommendation of what action should take place with any conditions and time frames, if applicable, that must be met. It must also specify the time allowed for responses either for or against the proposed action. The preferred method of communication is ENET.

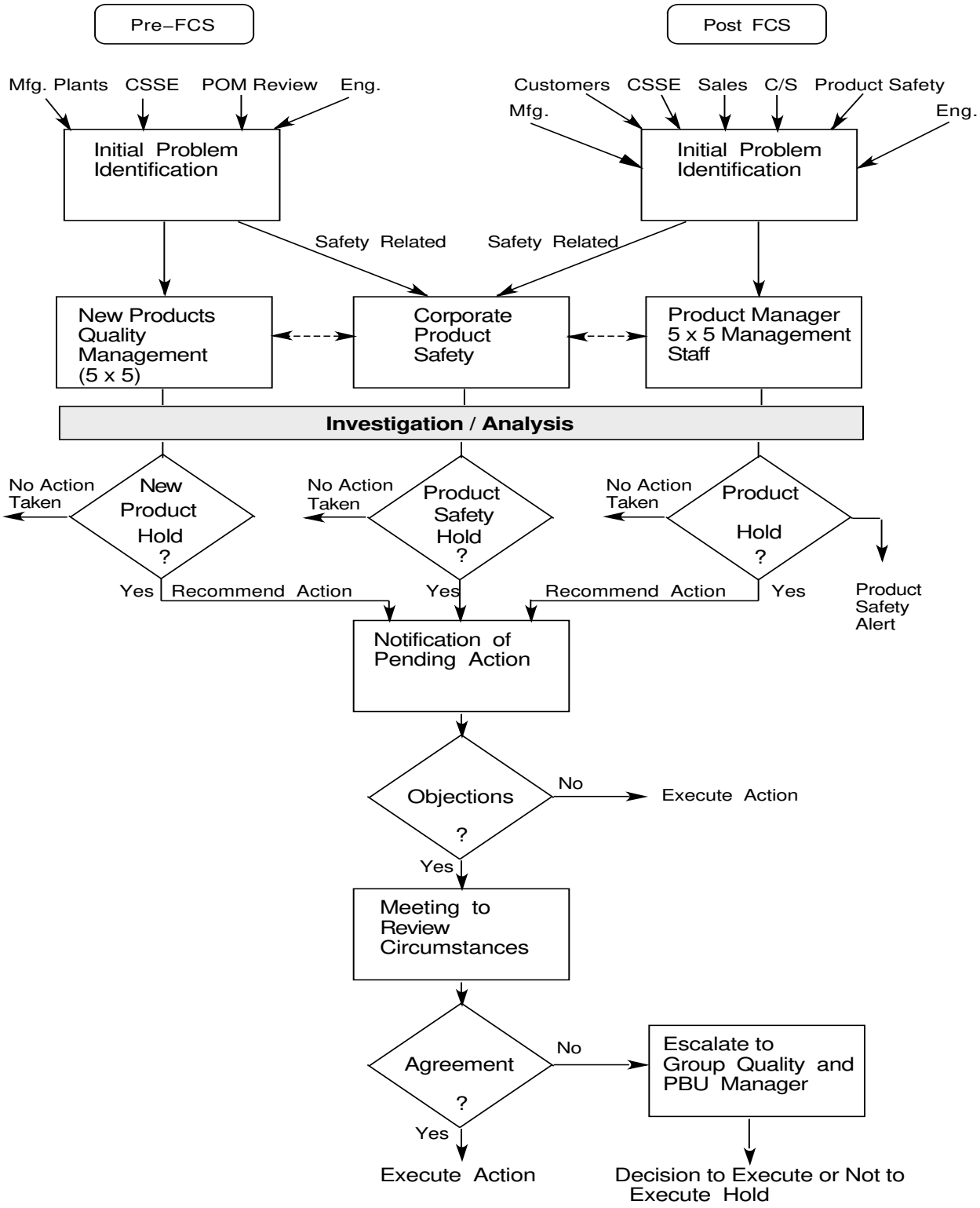
6.3 RESPONSES TO NOTIFICATIONS

Disagreements will be resolved by a meeting of all parties involved within one working day. If no agreement can be reached, the problem will be escalated to the group Quality Manager and the PCU Manufacturing Manager for final resolution.

Response times:—In general, one working day will be allowed for responses to any notices of pending action. No response is an indication of approval of the contemplated action. In the case of a life-threatening safety issue, the times and events outlined in *DEC STD 005-0 Operational Alert (OPAL) Procedure* will supersede this document.

Refer to the USSM Ship Hold Flowchart shown in Figure 1 for additional information.

Figure 1: USSM Ship Hold Process Flow Diagram



7 HOLD STATEMENT AND DISTRIBUTION LIST

The statement declaring the hold must be clear and provide enough detail for every organization to carry out their required actions. The statement should include the following information whenever possible:

- A short, clear description of the problem
- Precise product and model numbers as they appear on shipping cartons and barcode labels
- The date codes and serial number ranges of product affected
- What exactly is to be done with the material. Example: Send to stock room xxx, or place material in a reject holding area
- Any follow-up activity that may be anticipated
- What inventory or product is affected, such as Manufacturing WIP, Distribution Centers, Consolidation Centers only. Must be clear if everything is involved or only a certain segment
- A name and phone number of the hold manager and a back-up person that can answer any questions relating to the hold.
- Any other pertinent information to manage the problem

The Hold Distribution list is identified as the USSM Hold List and is maintained by the USSM Group Quality organization.

8 ACKNOWLEDGMENT RESPONSIBILITIES

Key individuals marked with an asterisk on the hold distribution list may be asked to verify compliance with the hold request. In some cases, it is only an acknowledgment that the process is being followed. In other cases, more specific and detailed responses may be required.

9 EXECUTING THE HOLD

When the request is sent to execute a hold, it is expected that all individuals and organizations will comply with the request as it relates to their area of responsibility.

10 RESPONSIBILITIES OF DISTRIBUTION, CONSOLIDATION CENTERS, AND OTHER INVENTORY HOLDERS

Report corrective action activities as they occur. The timeliness of the reports will be agreed upon by the Hold Manager, Distribution Centers, Consolidation Centers, and other Inventory Holders.

11 RESPONSIBILITIES OF THE HOLD MANAGER DURING THE HOLD PERIOD

The Hold Manager is responsible for follow-up and verification of all activity relating to the Hold action. The Hold Manager will issue periodic status reports at not more than 2-week intervals and must also make the determination that all activity is complete.

12 RELEASE FROM HOLD REQUIREMENTS

1. It is the responsibility of the Hold Manager to release the product from hold. Before doing this, a status request is sent to various key organizations involved in the execution of the hold. These groups must all respond that their activity is complete to the satisfaction of the Hold Manager before a release from hold message is sent.
2. The Hold Release Message shall be sent to the same distribution that received the hold statement.

13 FOLLOW-UP AND CLOSE-OUT RESPONSIBILITIES

The hold initiator has the responsibility to ensure all activities are complete and no open issues are remaining before final disposition of the hold proceeding is declared.

14 MAINTENANCE AND ACCURACY OF DISTRIBUTION LIST

Maintenance and accuracy of the USSM Hold List distribution list is the responsibility of the USSM Group Quality organization.

Figure 2: USSM Hold Investigation Analysis

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USSM HOLD / INVESTIGATION ANALYSIS

Product Nomenclature _____

Variations _____

Serial Numbers / Lot Numbers Affected _____

Major Products Affected _____

Problem Observed and Reported By: _____

Safety Related?: _____ **Yes** _____ **No**

Statement of Problem _____

_____

_____

_____

Problem Assigned To:
(Indicates person responsible for problem investigation)

New Products Quality _____

Product Manager _____

Results of investigation and recommended recovery action: _____

_____

_____

_____

Product Hold Recommended?

Yes _____ **(Complete remainder of this form)**

No _____ **(No further action required)**

Figure 3: USSM Hold Notification and Comments Sheet

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NOTIFICATION

	Notified	Approval Received
Product Manager or 5 x 5	_____	_____
Engineering Manager	_____	_____
Manufacturing Manager	_____	_____
CSSE Manager	_____	_____
Group Quality Manager	_____	_____

Hold Action Issued **Yes** _____ **No** _____ **Date** _____

Responses Received **Yes** _____ **No** _____

Product Released From Hold **Date** _____

Comments by person managing the product hold:
(Include comments on effectiveness of process with recommendations for improvements.)

_____

_____

_____

_____

_____

_____

_____

_____

_____

Table 1: USSM HOLD LIST

USSM Group Quality Manager
USSM Group Quality Staff
USSM Group Manager
Plant Quality Managers (by product involved)
USSM Plant Managers
Corporate Manufacturing Product Safety (CMPS) Manager (safety issues only)
GIA Group Quality Manager
U.S. Area Planning Manager
U.S. Area Manufacturing Business Management
U.S. Area Distribution Center Quality
GIA Order Management
European Group Quality
Customer Service
Returns Distribution Center
DECdirect
CSSE Manager

APPENDIX A REFERENCED DOCUMENTS

A.1 EL-Class Digital Documents

EL-Class Number	Document Title
EL-00005-00	*DEC STD 005-0 Operational Alert (OPAL) Procedure*

Use VTX SMC to order copies of EL-class documents from Standards and Methods Control. Send distribution questions to JOKUR::SMC or call DTN: 234-4423.

A.2 Other Digital Documents

Document Number	Document Title
AQUCD00003-CD03	*European Product Hold Procedure #GENMFG-0-EU-REVB-0*

A.3 Ordering Information

Contact Vivian Ankin, AYO, DTN: 823-3327, to obtain the European Product Hold Procedure.

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